

10/534957  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
Alexandria, Virginia 22313-1450

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May 16, 2005

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Applicant's or Agent's File Reference  
0074-522135

BOX PCT

**IDENTIFICATION OF THE INTERNATIONAL APPLICATION**

Int'l Appln. No.  
PCT/NZ2003/000253

Int'l. Filing Date  
14 November 2003

Applicant (name)  
**DAVID ARTHUR LEE**

**TRANSMITTAL OF LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)**

**Attention: PCT International Division**

We are enclosing the following for the above-identified international application:

- 1) Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (**FIRST** submission): Form PTO-1390 (2 pages);
- 2) Copy of International Publication No. WO 2004/044290 (publication of International Application No. PCT/NZ2003/000253);
- 3) Preliminary Amendment; and
- 4) Check in the amount of \$1200.00: (small entity): basic national fee (\$150); examination fee (\$100); search fee (\$250); excess claims fee (\$400); and excess independent claims fee (\$300).

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |   |  |
|---|---|--|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |   | ATTORNEY'S DOCKET NUMBER<br>0074-522135<br>U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>107534957</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/NZ2003/000253  | INTERNATIONAL FILING DATE<br>14 November 2003 | PRIORITY DATE CLAIMED<br>14 November 2002  |
| TITLE OF INVENTION<br>APPARATUS FOR PRODUCING A YARN  |   |  |
| APPLICANT(S) FOR DO/EO/US<br>DAVID ARTHUR LEE   |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |   |  |
| 1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.<br>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.<br>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.<br>4. <input type="checkbox"/> The US has been elected (Article 31).<br>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<br>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).<br>b. <input type="checkbox"/> has been communicated by the International Bureau.<br>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).<br>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).<br>a. <input type="checkbox"/> is attached hereto.<br>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).<br>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<br>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).<br>b. <input type="checkbox"/> have been communicated by the International Bureau.<br>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<br>d. <input type="checkbox"/> have not been made and will not be made.<br>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).<br>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).<br>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).<br>Items 11 to 20 below concern document(s) or information included:<br>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.<br>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.<br>13. <input checked="" type="checkbox"/> A preliminary amendment.<br>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.<br>15. <input type="checkbox"/> A substitute specification.<br>16. <input type="checkbox"/> A power of attorney and/or change of address letter.<br>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.<br>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).<br>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).<br>20. <input checked="" type="checkbox"/> Other items or information: Trans. Ltr to the DO/EO/US; post card receipt |   |  |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount

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Applicable for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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|  |              |   |         |   |    |
|--|--------------|---|---------|---|----|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/534957</b>  |              | INTERNATIONAL APPLICATION NO.<br>PCT/NZ2003/000253                            |         | ATTORNEY'S DOCKET NUMBER<br>0074-522135 |    |
| The following fees have been submitted   |              |   |         | CALCULATIONS PTO USE ONLY               |    |
| 21. <input checked="" type="checkbox"/> Basic national fee . . . . \$300   |              |   |         | \$ 300.00                               |    |
| 22. <input checked="" type="checkbox"/> Examination fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) . . . \$100<br>All other situations . . . \$200  |              |   |         | \$ 200.00                               |    |
| 23. <input checked="" type="checkbox"/> Search fee<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority . . . \$100<br>International Search Report prepared and provided to the Office . . . \$400<br>All other situations . . . \$500 |              |   |         | \$ 500.00                               |    |
| TOTAL OF 21, 22 and 23 =   |              |   |         | \$ 1000.00                              |    |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |         |   |    |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE    |   |    |
| - 100 =  | /50 =        |   | x \$250 | \$                                      |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).   |              |   |         | \$                                      |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE    | \$                                      |    |
| Total claims   | 36 - 20 =    | 16  | x \$ 50 | \$ 800.00                               |    |
| Independent claims   | 6 - 3 =      | 3   | x \$200 | \$ 600.00                               |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   | + \$360 | \$                                      |    |
| TOTAL OF ABOVE CALCULATIONS =  |              |   |         | \$ 2400.00                              |    |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.  |              |   |         | 1200.00                                 |    |
| SUBTOTAL =   |              |   |         | \$ 1200.00                              |    |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).  |              |   |         | \$                                      |    |
| TOTAL NATIONAL FEE =   |              |   |         | \$ 1200.00                              |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |              |   |         | \$                                      |    |
| TOTAL FEES ENCLOSED =  |              |   |         | \$ 1200.00                              |    |
|  |              |   |         | Amount to be refunded:                  | \$ |
|  |              |   |         | Amount to be charged:                   | \$ |

- a. ☒ A check in the amount of \$ 1200.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer Number 000110  
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Vincent T. Pace  
 SIGNATURE  
 Vincent T. Pace, Reg. No. 31,049  
 NAME